

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)
RECOVERY ACT PROGRAM: PROBATION SPECIALIZED UNIT PR09
PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** PR 09010570 **DATE OF SITE VIST:** 6/17/2010
2. **GRANT PERIOD:** 10/1/2009-9/30/2010
3. **RECIPIENT/IMPLEMENTING AGENCY:** County of Yolo Probation Department
4. **PROJECT DIRECTOR:** Jim Metzen Probation Program Manager

PERSONS INTERVIEWED DURING SITE VISIT:

<u>NAME</u>	<u>TITLE</u>	<u>AGENCY</u>
Jim Metzen	Program Manager	Yolo County Probation
Teri Huerta	Supervising DPO	Yolo County Probation
Mike Ha	Probation Officer	Yolo County Probation
Jayne Crandall	Admin. Service Analyst	Yolo County Probation

Signature of Program Specialist

Date

Signature of Section Chief

Date

Signature of Project Representative

Date

8/30/2010

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A. ADMINISTRATIVE REVIEW

YES NO N/A

1. OPERATIONAL DOCUMENTS

Review hard copy/verify the ability to access on line:

- The Cal EMA Recipient Handbook (R.H.)
- The Approved Grant Award Agreement
- Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars.

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

2. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- Does the project have their CEQA documentation on file?

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments:

3. PROOF OF AUTHORITY (R.H. Section 1350)

- Does the project have a written authorization/resolution on file as required by the Grant Award Agreement?

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments:

4. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions included on the Organizational Chart?

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments:

5. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification (Cal EMA 2-223). [R. H. Section 7500] (*Instruct the project staff on the procedure to obtain the most recent forms from Cal EMA website.*)

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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A modification is needed for the following:

- Budget changes
- Change in key personnel
- Adding/changing additional signers
- Change goals/objectives, or activities
- Address change
- Other

Comments:

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6. PERSONNEL POLICIES

YES NO N/A

- Are written personnel policies available to staff as required? [R. H. Section 2130] ☒ ☐ ☐
- Do policies include:
 - Maintenance of personnel files for all paid and volunteer staff including job applications, salaries, benefits, and current job duties/descriptions
 - A current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152]
 - Work hours
 - Compensation rates
 - Overtime
 - Leave Allowances

Comments:

7. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [R. H. Section 11331] ☒ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (*Review timesheets to ensure they are signed by the staff and supervisor*) ☒ ☐ ☐

Comments:

8. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☒ ☐ ☐
 - Name and title of the person who approves purchases.
Margorie Rist, Betty Patton
 - Name and title of the person who writes checks. County
Controller/Auditor
 - Name and title of the person(s) who signs check County
Controller/Auditor

Comments:

9. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

YES NO N/A

- Does the project maintain a record-keeping system which will accurately support costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)? (explain how it works) ☒ ☐ ☐

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Comments:

10. PROJECT EXPENDITURES

- | | | | |
|--|-------------------------------------|--------------------------|--------------------------|
| • Is the project's expenditure rate commensurate with the elapsed period of the grant? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Is the project current with the submission of Cal EMA Form 2-201? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

B. PROGRAMMATIC REVIEW

GENERAL

YES NO N/A

1. SOURCE DOCUMENTATION-Programmatic

- | | | | |
|---|-------------------------------------|--------------------------|--------------------------|
| • Is the project maintaining a record keeping and data collection process that will accurately support the project's reported data on the Progress Report form? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| • Review the project's file system and data collection process. | | | |

Comments:

2. OPERATIONAL AGREEMENTS

- | | | | |
|---|-------------------------------------|--------------------------|--------------------------|
| • Does the project have current Operational Agreements as required by the Grant Award Agreement? (Page 7 RFP) | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|---|-------------------------------------|--------------------------|--------------------------|

Comments:

3. PROJECT STAFF DUTIES

- | | | | |
|---|-------------------------------------|--------------------------|--------------------------|
| • Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
|---|-------------------------------------|--------------------------|--------------------------|

Comments:

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C. SUPPLEMENTAL PROGRAMMATIC REVIEW

1. PROJECT OBJECTIVES (Request for Proposal)

- A. Are new probationers being accepted into the unit in accordance with the programs priority guidelines?
(convicted of a sexual assault crime, crime downgraded from fel to misd, convicted of misd with priors)

Yes ☒ No ☐

If no, explain

- B. Are probationers contacted on a weekly basis in accordance with the program guidelines? (field contacts, office contacts, phone contacts)

Yes ☒ No ☐

If no, explain

- C. Is there a 6 month review in place for probationers whose risk factors may have changed and may need to be moved to a less intensive caseload?

Yes ☒ No ☐

If no, explain

- D. Are there monthly contacts with counseling/treatment programs where the probationers are enrolled?

Yes ☒ No ☐

If no, explain

Contacts are conducted on a weekly basis.

- E. Are there periodic drug and alcohol testing for probationers? (conditions of probation)

Yes ☒ No ☐

- F. Are there periodic checks of police logs and court records for each probationer?

Yes ☒ No ☐

If no, explain

- G. Have attempts been made to contact the victims at the beginning of each Probationary Period? Has each contact been made in accordance with the CALEMA program guidelines?

Yes ☒ No ☐

If no, explain

- H. Does each probation officer have at least one year of specialized experience as a probation officer supervising violent offenders? (discuss/review job history)

Yes ☒ No ☐

If no, explain

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- I. Does the grantee utilize alternative work schedules for probation officers to allow for evening and weekend field visits with probationers?

Yes ☒ No ☐

If no, explain

- J. Has each Probation Officer completed a minimum of 12 hours of training annually specific to sexual assault, domestic violence, and/or stalking? (review any certificates)

Yes ☒ No ☐

If no, explain

- K. Is there official documentation stating that the Probation Officer(s) were facing a change in employment status? (review)

Yes ☒ No ☐

If no, explain

- L. Discuss the request for sanctions if the probationer violates his or her condition of probation in accordance with the grant guidelines.

1. Commits a new abuse or a violation of a contact order;
2. Violates substance abuse order;
3. Fails to participate in designated counseling and/or treatment program; or
4. Commits a new criminal offense (not limited to sexual assault, domestic violence, and/or stalking)

3. ADDITIONAL GUIDELINES

- A. Are the Probation Officers maintaining a reduced caseload in accordance with the Grant Guidelines?

Yes ☒ No ☐

If no, explain

- B. Has the Unit developed and/or maintained a Specialized Unit protocol, resource referral list of victim services, and a victim contact log in accordance with the Grant Guidelines? (Review)

Yes, Unit has a very detailed and thorough Specialized unit Protocol.

- C. Is the project staff accomplishing its objectives consistent with the terms of the grant award agreement?

Yes ☒ No ☐

EXPENDITURES

A review will be conducted in regards to any training that the program has been budgeted for. Any grant funded equipment will be reviewed at the time of the site visit.

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D. AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 PROGRAMMATIC REVIEW

	<u>YES</u>	<u>NO</u>	<u>N/A</u>
1. Is the project aware that they must provide Cal EMA with a <u>valid</u> Data Universal Numbering System (DUNS) Number for the implementing agency and not the County's DUNS number?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Comments:			
2. Is the project aware of the Central Contractor Registry (CCR) requirements?			
<ul style="list-style-type: none"> ○ Register with a valid DUNS number; and ○ Renew CCR registration yearly for the life of the grant. 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>
Comments:			
3. Does the project understand that they report Section 1512(c) information to Cal EMA and <u>not</u> to FederalReporting.gov directly?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<ul style="list-style-type: none"> ○ Report the total number of hours worked for each ARRA funded position on the Jobs Data Collection Sheet; and ○ Completed Jobs Data Collection Sheets are due to Cal EMA by the 3rd working day of each month for JAG funded programs and by the 10th day of the each month for VOCA or VAWA funded programs. ○ Failure to submit Jobs Data by the due date could result in the project's award being suspended and/or revoked. 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Comments:			
4. Does the project understand that by accepting the grant award, they agreed to:			
<ul style="list-style-type: none"> ○ Track, account for, and report on all ARRA funds (including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including Cal EMA award funds from non-ARRA awards awarded for the same or similar purposes or programs. (ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of ARRA funds must be separate.); and ○ Accounting systems must ensure that ARRA funds are not commingled with funds from any other source. 	<input checked="" type="checkbox"/> <input checked="" type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>	<input type="checkbox"/> <input type="checkbox"/>

Comments:

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5. Is the project familiar with Office of Management and Budget, OMB Circulars which govern their organization? Circulars may be found at www.whitehouse.gov/omb/circulars. ☒ ☐ ☐

Comments:

6. Is the project aware that potential fraud, waste, or abuse must be promptly referred to the federal Department of Justice, Office of the Inspector General? Additional information is available from the DOJ OIG website at www.usdoj.gov/oig. ☒ ☐ ☐

Comments:

7. Is the project aware that ARRA funds cannot be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. ☒ ☐ ☐

Comments:

8. Does the project understand that by accepting the grant award, they:
- Agreed to provide Cal EMA, federal DOJ (including OJP and the Office of the Inspector General (OIG)), and its representatives, and the Government Accountability Office (GAO), access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to ARRA funds, including such records of any subrecipient, contractor, or subcontractor; and ☒ ☐ ☐
 - Acknowledges that Cal EMA, federal DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any subrecipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award. ☒ ☐ ☐

Comments:

9. Is the project aware of the Performance Measures and reporting timeline for ARRA funded programs:
- Reporting of Performance Measures will be accomplished using BJA's Performance Measurement Tool (PMT); ☐ ☐ ☒
 - PMT reports must be completed on a quarterly basis (i.e., July 15, October 15, January 15, and April 15) for the life of the grant; and ☐ ☐ ☒
 - Failure to submit PMT reports by the due date could result in the project's award being suspended and/or revoked. ☐ ☐ ☒
- (Specific to Recovery JAG funded programs only).***

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Comments:

- 10.** For existing staff positions, does the project have documentation that the position would have been eliminated if not for Recovery Act funding?

☒☐☐

Documentation may include:

- Budget comparisons and/or projections before and after the Recovery Act award date
- Formal layoff recommendations and retractions (memos, reports) or
- Minutes of formal meetings where official budget decisions were made.

(Specific to Recovery VOCA/VAWA funded programs only).

Comments:

SECTION IV - ADDITIONAL COMMENTS:

NOTES:

END